

Title Insurance Investigations
Open Investigations Summary Report

| I Case # | Date Opened | Date Closed | Elapsed Time | Reason Closed | | | | | | | | | | | | | | | | | | | | | AUDIT | Referred to Criminal | Alleged Violation |
|----------|-------------|-------------|--------------|---------------|---|---------------------------------------|------------------------------------|---|--|---|-----------------------------------|-------------------------------|---------------------------|--------------------------|---|---|----------------------------------|----------------------------|------------------------------------|--------------------------|---|--|--|---|-------|--|-------------------|
| | | | | | 31A-2-202; repts. & replies, failure to respond | 31A-2-405 Violation of Dual Licensing | 31A-14-211; foreign title insurers | 31A-19a-209 Req of rate/premium filings | 31A-23a-103; req. of license termination, Req of Prod. Lic | 31A-23a-111; license Individual or Agency | 31A-23a-302; Req of agency desig. | 31A-23a-402; unfair marketing | 31A-23a-406; title escrow | 31A-23a-409; trust funds | 31A-23a-412; Failure to Maintain address/email; records | 31A-23a-413 Failure to File annual report | 31A-23a-415; Failure to pay bus. | 31A-31-103; controlled act | R590-99; fraudulent ins. practices | R592-6; unfair marketing | | | | | | | |
| 68403 | 1/12/17 | | 19 | | | | | | | | | | | | | | | | | x | | | | | | Alleged geo-survey not shown on commitment/policy | |
| 68423 | 1/17/17 | | 14 | | | | | | | x | | | | | | | | | | | | | | | | Alleged unlicensed activity | |
| 68424 | 1/17/17 | | 14 | | | | | | | x | | | | | | | | | | | | | | | | Alleged unlicensed activity | |
| 68425 | 1/17/17 | | 14 | | | | | | | x | | | | | | | | | | | | | | | | Alleged unlicensed activity | |
| 68426 | 1/17/17 | | 14 | | | | | | | x | | | | | | | | | | | | | | | | Alleged unlicensed activity | |
| 68506 | 2/1/17 | | 28 | | | | | | | | | | | | | | | | | | | | | x | | Audit | |
| 68511 | 2/1/17 | | 28 | | | | | | | | | | | | | | | | | | | | | x | | Audit | |
| 68572 | 2/14/17 | | 14 | | | | | | | | | | x | | | | | | | | | | | | | Alleged doing a closing without paying off liens and or issuing a policy | |
| 68611 | 2/21/17 | | 7 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68612 | 2/21/17 | | 7 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68613 | 2/21/17 | | 7 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68614 | 2/21/17 | | 7 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68617 | 2/22/17 | | 6 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68618 | 2/22/17 | | 6 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68619 | 2/22/17 | | 6 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68620 | 2/22/17 | | 6 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68716 | 3/10/17 | | 21 | | | | | | | x | | | | | | | | | | | | | | | | Alleged unlicensed activity | |
| 68724 | 3/13/17 | | 18 | | | | | | | x | | | | | | | | | | | | | | | | Alleged unlicensed activity/RESPA Violation | |
| 68740 | 3/13/17 | | 18 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68741 | 3/15/17 | | 16 | | | | | | | | | | | | | x | | | | | | | | | | Using an unapproved name | |
| 68743 | 3/15/17 | | 16 | | | | | | | | | | | | | | | | | | x | | | | | Advertising with a client | |
| 68745 | 3/16/17 | | 15 | | | | | | | | | | | | | | | | | | x | | | | | Supplying items of value at a clients event | |
| 68830 | 3/27/17 | | 4 | | | | | | | | | | | | | | | | | x | | | | | | Signing policies without examining | |

Title Insurance Investigations
Closed Investigation Summary Report

| I Case # | Date Opened | Date Closed | Elapsed Time | Reason Closed | 31A-2-202: repts. & replies | 31A-4-102: qualified insurers | 31A-14-211: foreign title insurers | 31A-15-102: unauth. insurers | 31A-20-110: underwriting rules | 31A-23a-103: req. of license | 31A-23a-107: character termination | 31A-23a-111: license probation | 31A-23a-112: llc. req. | 31A-23a-204: special desig. | 31A-23a-302: agency marketing | 31A-23a-402: unfair escrow | 31A-23a-406: title funds | 31A-23a-409: trust proc. | 31A-23a-411.1: prem. | 31A-23a-412: records report | 31A-23a-413 annual | 31A-23a-503: controlled bus. | 31A-31-103: fraudulent ins. act | R590-99: unfair title practices | R592-6: unfair marketing | R590-100: unfair claims stimt. | R590-206: privacy | R590-216: information standards | R592-3: escrow charges filing | R592-4: escrow chgs. Sds. | Referred to Criminal | Alleged Violation | | | |
|----------|-------------|-------------|--------------|---|-----------------------------|-------------------------------|------------------------------------|------------------------------|--------------------------------|------------------------------|------------------------------------|--------------------------------|------------------------|-----------------------------|-------------------------------|----------------------------|--------------------------|--------------------------|----------------------|-----------------------------|--------------------|------------------------------|---------------------------------|---------------------------------|--------------------------|--------------------------------|-------------------|---------------------------------|-------------------------------|---------------------------|----------------------|-------------------|-----------------------------|--|--|
| 66299 | 12/8/15 | 2/10/16 | 64 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 66300 | 12/8/15 | 2/10/16 | 64 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | |
| 66301 | 12/8/15 | 2/10/16 | 64 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | |
| 66302 | 12/8/15 | 2/10/16 | 64 | PriLOA | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | |
| 66303 | 12/8/15 | 2/10/16 | 64 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | |
| 66304 | 12/8/15 | 2/10/16 | 64 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | |
| 66306 | 12/8/15 | 2/10/16 | 64 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | |
| 66322 | 12/10/15 | 2/10/16 | 62 | Training | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | | | Alleged Co-advertising | |
| 65040 | 2/26/15 | 2/19/16 | 358 | E-case 3730 | | | | | | | | X | X | X | | | | | | | | | | | | | | | | | | | | Alleged: conducting escrow without issuance of title insurance, charging un-filed fees, conversion of funds to personal ues, theft of funds due the agency | |
| 66691 | 2/11/16 | 3/1/16 | 19 | Audit no Issues | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | Audit | |
| 66692 | 2/11/16 | 3/1/16 | 19 | Audit no Issues | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | Audit | |
| 66450 | 1/6/16 | 3/2/16 | 56 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66451 | 1/6/16 | 3/2/16 | 56 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66452 | 1/6/16 | 3/2/16 | 56 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66453 | 1/6/16 | 3/2/16 | 56 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66454 | 1/6/16 | 3/2/16 | 56 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66664 | 2/9/16 | 3/7/16 | 27 | E-Case 3731 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Failure to appoint and terminate producers 31A-23a-115 |
| 66298 | 12/8/15 | 3/14/16 | 97 | E-case 3742 | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66813 | 3/1/16 | 3/14/16 | 13 | PubLOA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Agencies not apptd |
| 65743 | 8/4/15 | 3/24/16 | 233 | No violations | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Issues range from use of unauthorized banking institution, failure to maintain records, failure to supervise agents, use of marketing materials, re-distribution of marketing materials, unfair claims processes, exceeding the statutory amount for an open house, use of name other than that which is licensed, paying an employee who is also a real estate agent. |
| 66957 | 3/21/16 | 3/25/16 | 4 | E-Case 3753 | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | Failure to pay assessment when due. |
| 66671 | 2/10/16 | 4/5/16 | 55 | No Business | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66672 | 2/10/16 | 4/5/16 | 55 | No Business | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66674 | 2/10/16 | 4/5/16 | 55 | No Business | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 65272 | 4/13/15 | 4/11/16 | 364 | Case closed Pending District Court Case | | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | Unfair claims handling, trust account? |
| 66670 | 2/10/16 | 4/11/16 | 61 | PriLOA | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66673 | 2/10/16 | 4/11/16 | 61 | PriLOA | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business |
| 66231 | 11/19/15 | 4/28/16 | 161 | Suspended | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | Insurer liability for funds deposited by their agent |
| 66817 | 3/2/16 | 5/2/16 | 61 | Completed Audit | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | Audit |
| 66819 | 3/2/16 | 5/2/16 | 61 | Completed Audit | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | Audit |

Title Insurance Investigations
Closed Investigation Summary Report

| I Case # | Date Opened | Date Closed | Elapsed Time | Reason Closed | | | | | | | | | | | | | | | | | | | | | | | | | | | Alleged Violation |
|----------|-------------|-------------|--------------|------------------------------------|----------------------------|-------------------------------|------------------------------------|------------------------------|--------------------------------|------------------------------|------------------------------------|-----------------------------|---------------------------|--------------------------------------|---------------------|---------------------------|--------------------------|----------------------------|----------------------|---------------------------|----------------------------------|--------------------------|--------------------------------|----------------------------|---------------------------------|-----------------------|--------------------------|-------------------------------|--|--|-------------------|
| | | | | | 31A-2-202; rept. & replies | 31A-4-102; qualified insurers | 31A-14-211; foreign title insurers | 31A-15-102; unauth. insurers | 31A-20-110; underwriting rules | 31A-23a-103; req. of license | 31A-23a-107; character termination | 31A-23a-112; lic. probation | 31A-23a-204; special req. | 31A-23a-302; agency desig. marketing | 31A-23a-402; unfair | 31A-23a-406; title escrow | 31A-23a-409; trust funds | 31A-23a-411.1; prem. proc. | 31A-23a-412; records | 31A-23a-413 annual report | 31A-23a-503; controlled bus. act | R590-99; fraudulent ins. | R592-6; unfair title practices | R590-190; unfair marketing | R590-206; unfair claims privacy | R590-216; information | R592-3; escrow standards | R592-4; escrow charges filing | Referred to Criminal | | |
| 66247 | 11/23/15 | 5/9/16 | 168 | E-case 3774 | | | | | | | | | | | | | | | | | | | | | | | | | Dual licensing violation | | |
| 67020 | 4/5/16 | 5/10/16 | 35 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67022 | 4/5/16 | 5/10/16 | 35 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67025 | 4/5/16 | 5/10/16 | 35 | No Business | | | | | X | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67021 | 4/5/16 | 5/11/16 | 36 | PriLOA | | | | | X | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67023 | 4/5/16 | 5/11/16 | 36 | PriLOA | | | | | X | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67024 | 4/5/16 | 5/11/16 | 36 | PriLOA | | | | | X | | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67217 | 5/13/16 | 5/13/16 | 0 | E-Case 3777 Informal | X | | | | | | | | | | | | | | | X | | | | | | | | | Failed to file Annual Report and Controlled Business Repot | | |
| 67241 | 5/19/16 | 5/13/16 | 315 | PubLOA | | | | | | | | | | | | | | | | X | | | | | | | | | Failure to file Annual Report and Controlled Business Report | | |
| 67214 | 5/13/16 | 5/19/16 | 6 | Informal Action E-Case 3774 PubLOA | X | | | | | | | | | | | | | | | X | | | | | | | | | Failed to file Annual Report and Controlled Business Repot | | |
| 67216 | 5/13/16 | 5/19/16 | 6 | Informal Action E-Case 3778 PubLOA | X | | | | | | | | | | | | | | | X | | | | | | | | | Failed to file Annual Report and Controlled Business Repot | | |
| 67150 | 5/2/16 | 6/1/16 | 30 | Closing Business | | | | | | | | | | | | | | | | | | | | | | | X | | Audit | | |
| 67151 | 5/2/16 | 6/1/16 | 30 | Clean Audit | | | | | | | | | | | | | | | | | | | | | | | X | | Audit | | |
| 67198 | 5/10/16 | 6/14/16 | 35 | E-Case 3788 | | | | | | | | | | | | | | | | | | | | | | | | | Failure to post CE in required timeframe | | |
| 67258 | 5/23/16 | 6/23/16 | 31 | PriLOA | | | | | | | | | | | | | X | | | | | | | | | | | | Failure to file Annual Report and Controlled Business Report | | |
| 67260 | 5/23/16 | 6/23/16 | 31 | PubLOA | | | | | | | | | | | | | X | | | | | | | | | | | | Failure to file Annual Report and Controlled Business Report | | |
| 67263 | 5/23/16 | 6/23/16 | 31 | PubLOA | | | | | | | | | | | | | X | | | | | | | | | | | | Failure to file Annual Report and Controlled Business Report | | |
| 66171 | 11/9/15 | 7/28/16 | 262 | No error by Agency | | | | | | X | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67456 | 7/12/16 | 8/15/16 | 34 | No unlicensed activity | | | | | | X | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67458 | 7/12/16 | 8/15/16 | 34 | No unlicensed activity | | | | | | X | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67459 | 7/12/16 | 8/15/16 | 34 | No unlicensed activity | | | | | | X | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67460 | 7/12/16 | 8/15/16 | 34 | No unlicensed activity | | | | | | X | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67205 | 5/11/16 | 8/22/16 | 103 | Fixed name with UID and DOC | | | | | | | | | | | | | | | | | | | | | | | X | | Audit | | |
| 65922 | 9/11/15 | 8/31/16 | 355 | E-Case 3823 | | | | | | X | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 65039 | 2/26/15 | 9/1/16 | 553 | E-Case 3822 | | | | | | | | X | | | | | | | | X | X | | | | | | | | Overcharging pass-thru fees, agency | | |
| 67367 | 6/20/16 | 9/6/16 | 78 | Unfounded | | | | | | | | | | | | | | | | | X | | | X | | | | | Relationship with a Real Estate Brokerage | | |
| 67457 | 7/12/16 | 9/6/16 | 56 | E-Case 3824 | | | | | | X | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67461 | 7/12/16 | 9/6/16 | 56 | PriLOA | | | | | | X | | | | | | | | | | | | | | | | | | | Alleged Unlicensed Business | | |
| 67510 | 7/20/16 | 10/11/16 | 83 | PriLOA | | X | | | | | | | X | | | | | | | | | | | | | | | | Alleged forgery of a document/alteration of an original document after signature and notary. | | |

Closed Investigation Summary Report

[illegible]

Title Insurance Investigations
Closed Investigation Summary Report

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-------|----------|---------|-----|--------------------------------|--|--|--|--|--|--|---|---|--|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|---|--|--------------------------------|--|
| 68237 | 1/12/17 | 2/14/17 | 32 | No Violations | | | | | | | | x | | | | | | | | | | | | | | | | | | | | |
| 67938 | 10/11/16 | 3/23/17 | 162 | Audit Completed | | | | | | | | | | x | | | | | | | | | | | | | | | x | | No Underwriter appointed/Audit | |
| 68244 | 12/7/16 | 3/14/17 | 96 | E-Case #3871 | | | | | | | x | | | | | | | | | | | | | | | | | | | | Alleged unlicensed activity | |
| 68507 | 2/1/17 | 3/1/17 | 30 | Audit completed | | | | | | | | | | | | | | | | | | | | | | | | | x | | Audit | |
| 68508 | 2/1/17 | 3/7/17 | 37 | Audit Completed | | | | | | | | | | | | | | | | | | | | | | | | | x | | Audit | |
| 68509 | 2/1/17 | 3/3/17 | 32 | Audit Completed | | | | | | | | | | | | | | | | | | | | | | | | | x | | Audit | |
| 68512 | 2/1/17 | 3/1/17 | 30 | E-Case #3866 | | | | | | | x | | | | | | | | | | | | | | | | | | | | Dual License | |
| 68513 | 2/1/17 | 3/1/17 | 30 | combined with I- case 68512 | | | | | | | x | | | | | | | | | | | | | | | | | | | | Dual License | |
| 68530 | 2/7/17 | 3/23/17 | 44 | Audit Completed | | | | | | | | | | | | | | | | | | | | | | | | | x | | Audit | |
| 68540 | 2/8/17 | 3/1/17 | 20 | No Violations | | | | | | | | | | x | | | | | | | | | | | | | | | | | No agency association | |
| 68541 | 2/8/17 | 3/16/17 | 36 | E-Case #3872 | | | | | | | | | | x | | | | | | | | | | | | | | | | | Agent no associated to agency | |

Title Insurance Investigations Open/Closed

| | Opened | Closed | | Opened | Closed | | Opened | Closed | | Opened | Closed |
|------------------------|------------|------------|------------------------|------------|------------|------------------------|------------|------------|------------------------|-----------|-----------|
| January | 7 | 4 | January | 6 | 4 | January | 6 | 19 | January | 12 | 5 |
| February | 20 | 26 | February | 5 | 5 | February | 2 | 6 | February | 17 | 11 |
| March | 11 | 41 | March | 14 | 13 | March | 11 | 7 | March | 7 | 10 |
| April | 19 | 25 | April | 22 | 26 | April | 11 | 5 | April | | |
| May | 20 | 7 | May | 1 | 11 | May | 3 | 4 | May | | |
| June | 20 | 39 | June | 2 | 11 | June | 21 | 6 | June | | |
| July | 26 | 17 | July | 0 | 4 | July | 11 | 18 | July | | |
| August | 24 | 21 | August | 8 | 6 | August | 21 | 25 | August | | |
| September | 15 | 55 | September | 11 | 12 | September | 6 | 4 | September | | |
| October | 14 | 15 | October | 12 | 13 | October | 18 | 4 | October | | |
| November | 25 | 17 | November | 5 | 10 | November | 22 | 16 | November | | |
| December | 11 | 55 | December | 9 | 10 | December | 6 | 10 | December | | |
| Totals for 2008 | 212 | 322 | Totals for 2011 | 95 | 125 | Totals for 2014 | 138 | 124 | Totals for 2017 | 36 | 26 |
| January | 8 | 31 | January | 15 | 9 | January | 1 | 17 | | | |
| February | 13 | 15 | February | 15 | 13 | February | 10 | 15 | | | |
| March | 4 | 12 | March | 12 | 15 | March | 1 | 1 | | | |
| April | 10 | 5 | April | 8 | 3 | April | 9 | 10 | | | |
| May | 5 | 5 | May | 20 | 21 | May | 8 | 8 | | | |
| June | 16 | 25 | June | 13 | 19 | June | 11 | 11 | | | |
| July | 6 | 7 | July | 17 | 17 | July | 1 | 0 | | | |
| August | 15 | 17 | August | 17 | 10 | August | 13 | 14 | | | |
| September | 31 | 22 | September | 3 | 11 | September | 5 | 3 | | | |
| October | 20 | 18 | October | 5 | 17 | October | 8 | 8 | | | |
| November | 7 | 11 | November | 20 | 12 | November | 9 | 6 | | | |
| December | 10 | 9 | December | 13 | 13 | December | 10 | 8 | | | |
| Totals for 2009 | 145 | 177 | Totals for 2012 | 158 | 160 | Totals for 2015 | 86 | 101 | | | |
| January | 10 | 9 | January | 2 | 10 | January | 6 | 8 | | | |
| February | 7 | 22 | February | 15 | 8 | February | 8 | 9 | | | |
| March | 17 | 17 | March | 16 | 19 | March | 3 | 13 | | | |
| April | 2 | 0 | April | 5 | 7 | April | 6 | 7 | | | |
| May | 3 | 15 | May | 5 | 9 | May | 12 | 15 | | | |
| June | 23 | 22 | June | 13 | 4 | June | 1 | 6 | | | |
| July | 0 | 2 | July | 8 | 15 | July | 10 | 0 | | | |
| August | 0 | 6 | August | 3 | 4 | August | 3 | 6 | | | |
| September | 3 | 0 | September | 10 | 13 | September | 5 | 4 | | | |
| October | 5 | 2 | October | 11 | 9 | October | 4 | 2 | | | |
| November | 20 | 5 | November | 20 | 11 | November | 7 | 9 | | | |
| December | 16 | 26 | December | 14 | 9 | December | 13 | 4 | | | |
| Totals for 2010 | 106 | 126 | Totals for 2013 | 122 | 118 | Totals for 2016 | 78 | 83 | | | |

Title Insurance Consumer Complaints

Open and Closed Consumer Complaint Summary Report

| Case # | Date Open | Date closed | Complaint | CSA | Results |
|--------|------------|-------------|--|--------|--|
| 58109 | 1/25/2010 | 2/25/2010 | HO premium not paid at closing | Meldee | JUSTIFIED |
| 58202 | 2/22/2010 | 2/22/2010 | title complaint, feels title company didn't uncover/disclose hazards for clear title and sale of home - flood insurance requirements | Sandy | UNJUSTIFIED |
| 58434 | 5/19/2010 | 8/19/2010 | Condo Ins not pd at closing | Meldee | UNJUSTIFIED |
| 58624 | 8/10/2010 | 8/10/2010 | Mechanicsliens recorded on property after closing | Sandy | Withdrawn |
| 58832 | 11/8/2010 | 11/16/2010 | Title agency did not the seller's delinquent dues paid | Meldee | UNJUSTIFIED |
| 58852 | 11/15/2010 | 2/9/2011 | Lender complaint. Trust deed not recorded | Meldee | UNJUSTIFIED |
| 58865 | 11/18/2010 | 12/9/2010 | not supplying title ins or deed to the property | Sandy | UNJUSTIFIED |
| 59045 | 1/3/2011 | 1/10/2011 | Liens were not cleared at closing | Sandy | UNJUSTIFIED |
| 59067 | 1/6/2011 | 2/9/2011 | Trust Deed not recorded | Meldee | UNJUSTIFIED |
| 59162 | 2/1/2011 | 2/1/2011 | Property not recorded properly by agent | Meldee | JUSTIFIED |
| 59272 | 3/7/2011 | 4/26/2011 | title complaint | Meldee | UNJUSTIFIED |
| 60778 | 4/20/2012 | 6/12/2012 | Claim Delay | Meldee | UNJUSTIFIED |
| 62236 | 5/1/2013 | 7/25/2013 | title co. issued deed conveying property which had leagly passed to complainant without notice. | Tammy | Info Not Rec'd |
| 63398 | 3/7/2014 | 4/30/2014 | Liens not cleared | Tammy | No Jurisdiction on Title Co, Insurer position upheld |
| 63660 | 4/29/14 | 4/30/14 | Failure to release Funds in Escrow | Tammy | UNJUSTIFIED |
| 63833 | 6/9/2014 | 8/7/2014 | Alleged overchging of fees | Tammy | UNJUSTIFIED |
| 64471 | 10/9/2014 | 11/5/2014 | Did not receive copies of closing docs. | Tammy | Consumer received copies |
| 65362 | 5/5/2015 | 6/10/2015 | Alleged abusive tactics by title agency owner, fiduciary issues | Tammy | UNJUSTIFIED |
| 65518 | 6/11/2015 | 6/17/2015 | Alleged Fiduciary Violation by releaseing funds held in escrow without authorization | Tammy | Insufficient Info, lack of jurisdiction |
| 65595 | 6/30/2015 | 7/1/2015 | Claim made on damage to home \$7000, actual repair \$150, Deductible \$550 | Tammy | No Jurisdiction |
| 65707 | 7/28/2015 | 10/30/2015 | Alleged falsification in the recordation of documents with and for the Millard County recorder's office and its employees. | Tammy | Insufficient information |
| 66220 | 11/23/2015 | 12/16/2015 | Unclear title issues | Tammy | UNJUSTIFIED |
| 66324 | 12/11/2015 | 12/16/15 | Commission questions | Tammy | Question of Fact |
| 66758 | 2/19/2016 | 4/15/2016 | Right of Way issues | Tammy | Company upheld |
| 66968 | 3/22/2016 | 4/28/2016 | Cloud on Title | Tammy | No Violation |
| 67090 | 4/15/2016 | 4/28/2016 | Alleged Fraud/Forgery | Tammy | No Jurisdiction |
| 67343 | 6/15/2016 | 8/2/2016 | Possible Recording Error | Tammy | Insufficient Info |
| 67390 | 6/24/2016 | 6/30/2016 | Fraud by borrower in a real estate transaction | Tammy | No Jurisdiction |
| 67671 | 8/23/2016 | | Balance of funds taken without authority | Adam | Settled in court |

**Title Insurance Consumer
Open and Closed Per Month Report**

| | Open | Closed | | Open | Closed |
|-------------------|----------|-----------|-------------------|----------|----------|
| January | 2 | 1 | January | 0 | 0 |
| February | 1 | 1 | February | 0 | 0 |
| March | 1 | 0 | March | 0 | 0 |
| April | 0 | 1 | April | 0 | 0 |
| May | 0 | 0 | May | 1 | 0 |
| June | 0 | 0 | June | 2 | 1 |
| July | 0 | 0 | July | 1 | 1 |
| August | 0 | 0 | August | 0 | 0 |
| September | 0 | 0 | September | 0 | 0 |
| October | 0 | 0 | October | 0 | 1 |
| November | 0 | 0 | November | 2 | 2 |
| December | 0 | 0 | December | 2 | 3 |
| Total 2011 | 4 | 3 | Total 2015 | 8 | 8 |
| January | 0 | 0 | January | 0 | 0 |
| February | 0 | 0 | February | 1 | 0 |
| March | 0 | 0 | March | 2 | 0 |
| April | 1 | 0 | April | 1 | 2 |
| May | 0 | 0 | May | 0 | 0 |
| June | 0 | 1 | June | 2 | 1 |
| July | 0 | 0 | July | 0 | 0 |
| August | 0 | 0 | August | 1 | 1 |
| September | 0 | 0 | September | 0 | 0 |
| October | 0 | 0 | October | 0 | 0 |
| November | 0 | 0 | November | 0 | 0 |
| December | 0 | 0 | December | 0 | 0 |
| Total 2012 | 1 | 1 | Total 2016 | 7 | 4 |
| January | 0 | 0 | January | | |
| February | 0 | 0 | February | | |
| March | 0 | 0 | March | | |
| April | 0 | 0 | April | | |
| May | 1 | 0 | May | | |
| June | 0 | 0 | June | | |
| July | 0 | 1 | July | | |
| August | 0 | 0 | August | | |
| September | 0 | 0 | September | | |
| October | 0 | 0 | October | | |
| November | 0 | 0 | November | | |
| December | 0 | 0 | December | | |
| Total 2013 | 1 | 1 | Total 2017 | 0 | 0 |
| January | 0 | 1 | | | |
| February | 0 | 5 | | | |
| March | 1 | 0 | | | |
| April | 1 | 2 | | | |
| May | 0 | 0 | | | |
| June | 0 | 1 | | | |
| July | 0 | 0 | | | |
| August | 0 | 1 | | | |
| September | 0 | 0 | | | |
| October | 1 | 0 | | | |
| November | 0 | 1 | | | |
| December | 0 | 0 | | | |
| Total 2014 | 3 | 11 | | | |

Title Insurance Enforcement Report

| E-Case # | Date Opened | Recommended Action | Repeat Offense | Prior Offense | Action taken | Action Date | Closed Date | |
|----------|-------------|---------------------------------|----------------|---------------|-----------------------------------|-------------|-------------|----|
| 2853 | 4/20/11 | Informal Action | | | Notice sent | 4/26/2011 | | TG |
| | | | | | Request for Pmt | 10/4/2011 | | |
| | | | | | Invoice Pd | 10/20/2011 | 10/20/2011 | |
| 2854 | 4/20/11 | Informal Action | | | Notice Sent | 4/26/2011 | | TG |
| | | | | | | | | |
| | | | | | \$750 Pd | | 5/25/2011 | |
| 2855 | 4/20/11 | Dismissal | | | Notice sent | 4/26/2011 | | TG |
| | | | | | At AGs for Dismissal | 11/15/2011 | | |
| | | | | | Order to Dismiss drafted | 1/10/2012 | 2/29/2012 | |
| 2856 | 4/20/11 | Informal Action | | | Notice sent | 4/26/2011 | | TG |
| | | | | | | | | |
| | | | | | \$750 Pd | | 5/25/2011 | |
| 2857 | 4/20/11 | Informal Action | | | Notice sent | 4/20/2011 | | TG |
| | | | | | Dismissed | 5/26/2011 | | |
| | | | | | | | 5/26/2011 | |
| 2858 | 4/20/11 | Surrender in Lieu | | | Notice sent | 4/26/2011 | | TG |
| | | | | | Hearing set 6/14/2011 | 5/24/2011 | | |
| | | | | | Signed Surr in Lieu | 1/24/2012 | 2/29/2012 | |
| 2859 | 4/20/11 | Informal Action | | | Notice sent | 4/26/2011 | | TG |
| | | | | | Company out of business 8/23/2010 | | | |
| | | | | | Out of Business | 11/3/2011 | 11/3/2011 | |
| 2874 | 5/2/11 | Order to Show Cause | | | To Gale | 5/2/2011 | | AM |
| | | | | | S&O drafted | 6/1/2011 | | |
| | | | | | Signed Surrender in Lieu Received | 5/29/2012 | 5/29/2012 | |
| 2875 | 5/2/11 | Stip & Order \$1,500 | | | To Gale | 5/2/2011 | | AM |
| | | | | | Invoice for \$500 pd | 9/19/2011 | | |
| | | | | | Last Pmt received \$500 | 12/19/2011 | 12/19/2011 | |
| 3010 | 9/21/11 | Cease and Desist | | | To Gale for C&D and Subpoena | 9/21/2011 | | TG |
| | | | | | Subpeona mailed | 3/15/2012 | | |
| | | | | | Closed/Opened erroneously | 8/1/2012 | 8/1/2012 | |
| 3015 | 9/26/11 | Complaint \$100,000 & \$3750 | | | To Gale | 9/26/2011 | | TG |
| | | | | | S&O sent | 3/26/2013 | | |
| | | | | | Forfeiture Pd | 4/8/2013 | 8/6/2013 | |
| 3024 | 10/21/11 | Revocation | | | To Gale | 10/24/2011 | | TG |
| | | | | | Pre-hearing scheduled | 3/14/2012 | | |
| | | | | | License Revoked | 4/9/2012 | 5/9/2012 | |
| 3030 | 10/18/11 | Stip & Order \$5,000 | | | To Gale | 10/18/2011 | | AM |
| | | | | | S&O Drafted & Mailed | 12/27/2011 | | |
| | | | | | Invoice \$5000 | 1/10/2012 | 1/30/2012 | |
| 3057 | 10/18/11 | Stip & Order \$1,500 | | | To Gale | 11/15/2011 | | AM |
| | | | | | Pleading sent | 1/13/2012 | | |
| | | | | | Invoice for \$1500 pd | 1/23/2012 | 1/30/2012 | |
| 3074 | 12/19/11 | Informal Action \$500 | | | Informal for \$500/2 yr probation | 1/24/2012 | | AM |
| | | | | | Resent notice | 2/24/2012 | | |
| | | | | | Pmt made | 6/12/2012 | 6/12/2012 | |
| 3101 | 2/6/12 | Revocation | | | To Gale | 3/13/2012 | | AM |
| | | | | | | | | |
| | | | | | Approved T&E | 5/14/2012 | 5/14/2012 | |
| 3113 | 3/12/12 | NON-Renew | | | To Gale | 3/13/2012 | | |
| | | | | | | | | |
| | | | | | Closed | 9/14/2012 | 9/14/2012 | |
| 3115 | 3/23/12 | Stip and Order \$5,000 | | | To Gale | 3/27/2012 | | |
| | | | | | Req Order to Show Cause | 6/7/2012 | | |
| | | | | | Forfeiture Pd | 2/13/2013 | 2/13/2013 | |
| 3116 | 4/2/12 | Stip & Order \$15,000 | | | To Gale | 4/2/2012 | | AM |
| | | | | | Mailed S&O | 5/23/2012 | | |
| | | | | | Signed and Pd | 7/9/2012 | 7/9/2012 | |

| E-Case # | Date Opened | Recommended Action | Repeat Offense | Prior Offense | Action taken | Action Date | Closed Date | |
|----------|-------------|---------------------------|----------------|---------------|-------------------------------|-------------|-------------|----|
| 3119 | 4/9/12 | Stip & Order \$1,500 | | | To Gale | 4/9/2012 | | AM |
| | | | | | Received signed S&O | 5/21/2012 | | |
| | | | | | Forfeiture pd | 7/2/2012 | 7/2/2012 | |
| 3128 | 4/26/12 | Informal Order \$1,500 | | | Draft Pleading to AG | 4/26/2012 | | TG |
| | | | | | | | | |
| | | | | | Pmt Rec'd \$1500 | 5/21/2012 | 5/21/2012 | |
| 3129 | 4/26/12 | Informal Order \$1,500 | | | Draft Pleading to AG | 4/26/2012 | | TG |
| | | | | | Order/Inv sent | 5/7/2012 | | |
| | | | | | Forfeiture Paid | 6/18/2012 | 6/18/2012 | |
| 3130 | 4/26/12 | Order To Dismiss | | | Draft Pleading to AG | 4/26/2012 | | TG |
| | | | | | Order/Inv sent | 5/7/2012 | | |
| | | | | | New Order sent to new address | 11/1/2012 | 11/1/2012 | |
| 3131 | 4/26/12 | Dismiss OTSC | | | Draft Pleading to AG | 4/26/2012 | | TG |
| | | | | | Hearing set 7/09/2012 | 6/10/2012 | | |
| | | | | | Sent Dismissal Order | 10/29/2012 | 10/29/2012 | |
| 3132 | 4/26/12 | Informal Order \$1,500 | | | Draft Pleading to AG | 4/26/2012 | | TG |
| | | | | | Order/Inv sent | 5/7/2012 | | |
| | | | | | Forfeiture Paid | 6/11/2012 | 6/11/2012 | |
| 3133 | 4/26/12 | Informal Order \$1,500 | | | Draft Pleading to AG | 4/26/2012 | | TG |
| | | | | | | | | |
| | | | | | Pmt Rec'd \$1500 | 5/7/2012 | 5/7/2012 | |
| 3134 | 4/26/12 | Informal Order \$1,500 | | | Draft Pleading to AG | 4/26/2012 | | TG |
| | | | | | Order/Inv sent | 5/7/2012 | | |
| | | | | | Motion to Dismiss | 7/9/2012 | 7/9/2012 | |
| 3135 | 4/26/12 | Informal Order \$1,500 | | | Draft Pleading to AG | 4/26/2012 | | TG |
| | | | | | Order/Inv sent | 5/7/2012 | | |
| | | | | | Pymt Rec'd \$1500 | 5/30/2012 | 5/30/2012 | |
| 3143 | 5/8/12 | Stip & Order \$1,500 | | | Stip & O sent | 5/30/2012 | | AM |
| | | | | | Stip & O rec'd | 6/11/2012 | | |
| | | | | | Forfeiture Pd | 7/16/2012 | 7/16/2012 | |
| 3179 | 6/18/12 | Stip & Order \$1,500 | | | To Gale | 6/18/2012 | | AM |
| | | | | | Rec'd signed S&O | 7/18/2012 | | |
| | | | | | Forf. Pd | 8/13/2012 | 8/13/2012 | |
| 3180 | 6/18/12 | Stip & Order \$3,000 | | | S&O sent for signature | 7/10/2012 | | AM |
| | | | | | Called on S&O | 8/2/2012 | | |
| | | | | | Forf. Pd | 9/11/2012 | 9/11/2012 | |
| 3193 | 7/18/12 | Stip & Order \$1,500 | | | To Gale | 7/18/2012 | | |
| | | | | | Sched. for Title Meeting | 9/10/2012 | | |
| | | | | | Forf. Paid | 10/16/2012 | 10/16/2012 | |
| 3195 | 7/30/12 | Stip & Order \$1,500 | | | To Gale | 7/30/2012 | | TG |
| | | | | | Invoice sent | 9/10/2012 | | |
| | | | | | Forfeiture Pd | 10/16/2012 | 10/16/2012 | |
| 3213 | 8/22/12 | Order to Dismiss | | | Draft Pleading to AG | 8/22/2012 | | TG |
| | | | | | Order/Inv sent | 8/27/2012 | | |
| | | | | | Sent Order to Dismiss | 10/18/2012 | 10/18/2012 | |
| 3216 | 9/11/12 | Revocation Request | | | Complaint mailed | 10/29/2012 | | TG |
| | | | | | Pre-hearing held | 12/18/2012 | | |
| | | | | | License Revoked | 12/31/2012 | 12/31/2012 | |
| 3219 | 9/20/12 | OTSC Hearing \$3,750 | | | Drafting Order | 9/20/2012 | | TG |
| | | | | | Non-Appearance for Hearing | 6/11/2013 | | |
| | | | | | License Revoked | 7/8/2013 | 7/16/2013 | |
| 3220 | 9/20/12 | Informal Order \$1,750 | | | Drafting Order | 9/20/2012 | | TG |
| | | | | | Informal Order mailed | 2/19/2013 | | |
| | | | | | Fofeiture Pd | 3/15/2013 | 3/15/2013 | |
| 3223 | 10/2/12 | Stip & Order \$1,500 | | | | | | AM |
| | | | | | Rec'd signed S&O | 10/30/2012 | | |
| | | | | | Forfeiture \$1500 Pd | 11/27/2012 | 12/4/2012 | |
| 3237 | 11/13/12 | Stip & Order \$2,500 | | | Gave Report to Gale | 11/13/2012 | | AM |
| | | | | | Received signed S&O | 3/21/2013 | | |
| | | | | | Forfeiture Pd | 4/19/2013 | 4/24/2013 | |

| E-Case # | Date Opened | Recommended Action | Repeat Offense | Prior Offense | Action taken | Action Date | Closed Date | |
|----------|-------------|-------------------------------------|----------------|---------------|-------------------------------------|-------------|-------------|----|
| 3241 | 11/26/12 | Stip & Order \$1,500 | | | Gave Report to Gale | 11/26/2012 | | AM |
| | | | | | Request for Payment | 3/18/2013 | | |
| | | | | | Pd \$1500 | 3/20/2013 | 3/20/2013 | |
| 3242 | 11/26/12 | Stip & Order Revocation | | | Gave Report to Gale | 11/26/2012 | | AM |
| | | | | | S&O sent | 2/21/2013 | | |
| | | | | | License Revoked | 4/10/2013 | 4/22/2013 | |
| 3257 | 1/8/13 | Stip and Order \$1,500 | | | Gave Report to Gale | 1/8/2013 | | AM |
| | | | | | Invoice Sent | 3/14/2013 | | |
| | | | | | Case Closed Forfeiture Pd | 4/22/2013 | 4/22/2013 | |
| 3267 | 3/5/13 | Stip and Order \$4,500 | | | S&O sent | 3/19/2013 | | AM |
| | | | | | Received S&O | 3/25/2013 | | |
| | | | | | Invoice Paid | 5/2/2013 | 5/7/2013 | |
| 3268 | 3/5/13 | Stip and Order \$1,000 | | | | | | AM |
| | | | | | S&O and Invoice sent | 4/8/2013 | | |
| | | | | | Pd \$1000 | 4/25/2013 | 4/25/2013 | |
| 3270 | 3/8/13 | Stip and Order \$1,500 | | | S&O and Invoice sent | 4/8/2013 | | AM |
| | | | | | Scheduled mo. payment \$500 rec'd | 5/15/2013 | | |
| | | | | | Forfeiture PD \$1000 | 6/27/2013 | 7/1/2013 | |
| 3291 | 4/15/13 | Stip and Order \$1,000 | | | Sent Stip & Order | 5/7/2013 | | AM |
| | | | | | Rec'd Stip & Order | 5/20/2013 | | |
| | | | | | Forfeiture Pd \$1000 | 8/6/2013 | 8/6/2013 | |
| 3292 | 4/15/13 | Stip and Order \$500 | | | Sent Stip & Order | 5/7/2013 | | AM |
| | | | | | Rec'd Stip & Order | 5/20/2013 | | |
| | | | | | Final Pmt made | 10/7/2013 | 10/7/2013 | |
| 3315 | 5/7/13 | Stip and Order \$1,500 | | | Stip & Order Sent | 5/20/2013 | | AM |
| | | | | | Signed Stip & Order sent | 6/10/2013 | | |
| | | | | | Forfeiture PD \$1500 | 7/22/2013 | 8/6/2013 | |
| 3316 | 5/7/13 | Stip and Order \$1,500 | | | Stip & Order Sent | 5/20/2013 | | AM |
| | | | | | Signed S&O and Invoice sent | 6/4/2013 | | |
| | | | | | Forfeiture PD \$1500 | 7/22/2013 | 8/6/2013 | |
| 3322 | 5/20/13 | Stip and Order \$1,500 | | | Stip & Order Sent | 6/11/2013 | | AM |
| | | | | | Signed S&O and Invoice sent | 6/24/2013 | | |
| | | | | | Forfeiture PD \$1500 | 7/25/2013 | 7/25/2013 | |
| 3323 | 5/20/13 | Stip and Order \$2,500 | | | Stip & Order Sent | 6/11/2013 | | AM |
| | | | | | Signed S&O and Invoice sent | 6/24/2013 | | |
| | | | | | Forfeiture PD \$2500 | 7/25/2013 | 7/25/2013 | |
| 3354 | 7/30/13 | Complaint License Surrendered | | | Hearing set 12/9/13 | 10/7/2013 | | TG |
| | | | | | S&O were not agreed to by T&E | 12/9/2013 | | |
| | | | | | License Surrendered | 2/28/2014 | 5/30/2014 | |
| 3356 | 8/6/13 | Informal Order Surrender in Lieu | | | Informal sent | 10/25/2013 | | TG |
| | | | | | Invoice pmt req | 1/9/2014 | | |
| | | | | | Surrender in Lieu | 9/5/2014 | 9/5/2014 | |
| 3365 | 8/22/13 | Complaint Revocation | | | to AAG | 10/18/2013 | | |
| | | | | | Complaint/hearing set for 1/21/2014 | 12/10/2013 | | |
| | | | | | Default Revocation | 3/7/2014 | 3/7/2014 | |
| 3366 | 8/22/13 | Stip and Order Revocation | | | Accepted offer of S&O | 10/2/2013 | | |
| | | | | | Received signed S&O | 1/13/2014 | | |
| | | | | | Completed S&O Mailed | 2/10/2014 | 2/10/2014 | |
| 3367 | 8/26/13 | Complaint No Action | | | To AAG | 10/17/2013 | | |
| | | | | | Case Closed Renewal EIN fixed | 1/7/2014 | | |
| | | | | | | 1/7/2014 | 1/7/2014 | |
| 3375 | 9/5/13 | Stipulation & Order \$73,000 | | | Offer letter sent | 9/5/2013 | | |
| | | | | | S&O being redrafted by AAG | 2/27/2014 | | |
| | | | | | Fine Rec'd | 5/30/2014 | 5/30/2014 | |
| 3376 | 9/5/13 | Stipulation and Order \$225,500 | | | Response to offer Rec'd | 11/20/2013 | | TG |
| | | | | | To AAG | 7/3/2014 | | |
| | | | | | Forfeiture PD \$225,500 | 9/29/2014 | 9/29/2014 | |
| 3395 | 10/30/13 | Stip & Order \$10,500 | | | To AAG | 10/31/2013 | | AM |
| | | | | | S&O sent | 11/25/2013 | | |
| | | | | | Forfeiture Pd | 3/5/2014 | 3/5/2014 | |

| E-Case # | Date Opened | Recommended Action | Repeat Offense | Prior Offense | Action taken | Action Date | Closed Date | |
|----------|-------------|---------------------------|----------------|---------------------------|-------------------------------|-------------|-------------|----|
| 3404 | 11/12/13 | Stip & Order \$1,500 | | | To AAG | 11/12/2013 | | AM |
| | | | | | S&O sent | 11/25/2013 | | |
| | | | | | For. Pd | 2/11/2014 | 2/11/2014 | |
| 3405 | 11/13/13 | Stip & Order \$1,500 | | | To AAG | 11/14/2013 | | |
| | | | | | S&O with Invoice sent | 1/13/2014 | | |
| | | | | | Forfeiture PD \$1000 | 1/27/2014 | 2/3/2014 | |
| 3406 | 11/19/13 | Stip & Order \$1,000 | | | To AAG | 11/14/2013 | | |
| | | | | | S&O sent | 12/13/2013 | | |
| | | | | | Fine Pd | 12/20/2013 | 12/20/2013 | |
| 3407 | 11/19/13 | Informal Order \$1,000 | | | To AAG | 11/14/2013 | | |
| | | | | | Informal order sent | 11/26/2013 | | |
| | | | | | Fine Pd | 12/12/2013 | 12/12/2013 | |
| 3408 | 11/19/13 | Informal Order \$6,500 | | | To AAG | 11/14/2013 | | TG |
| | | | | | Informal order sent | 11/26/2013 | | |
| | | | | | License surrendered | 12/31/2013 | 12/31/2013 | |
| 3409 | 11/19/13 | Informal Order \$1,000 | | | To AAG | 11/14/2013 | | |
| | | | | | Informal order sent | 11/26/2013 | | |
| | | | | | Fine Pd | 12/12/2013 | 12/12/2013 | |
| 3410 | 11/19/13 | Informal Order \$1,000 | | | To AAG | 11/14/2013 | | |
| | | | | | Informal order sent | 11/26/2013 | | |
| | | | | | Fine Pd | 12/13/2013 | 12/13/2013 | |
| 3411 | 11/19/13 | Informal Order \$1,000 | | | To AAG | 11/14/2013 | | |
| | | | | | Informal order sent | 11/26/2013 | | |
| | | | | | Fine Pd | 12/17/2013 | 12/17/2013 | |
| 3430 | 12/30/13 | Stip & Order \$1,500 | | | To AAG | 12/31/2013 | | |
| | | | | | S&O sent | 2/26/2014 | | |
| | | | | | Fine Paid | 4/22/2014 | 4/22/2014 | |
| 3431 | 12/30/13 | Stip & Order \$1,500 | | | To AAG | 12/31/2013 | | |
| | | | | | S&O sent | 2/27/2014 | | |
| | | | | | Forfeiture PD \$1500 | 5/8/2014 | 5/8/2014 | |
| 3445 | 1/29/14 | Informal Order \$250 | | | To AAG | 1/30/2014 | | |
| | | | | | S&O sent w/invoice | 4/14/2014 | | |
| | | | | | Fine Paid | 4/22/2014 | 4/22/2014 | |
| 3453 | 2/24/14 | Stip & Order \$1,500 | | | To AAG | 2/24/2014 | | |
| | | | | | | | | |
| | | | | | Forfeiture PD \$1500 | 5/14/2014 | 5/14/2014 | |
| 3454 | 2/24/14 | Stip & Order \$3,000 | | | To AAG | 2/24/2014 | | |
| | | | | | Stip & Order sent w/invoice | 4/14/2014 | | |
| | | | | | Forfeiture PD \$3000 | 5/14/2014 | 5/14/2014 | |
| 3455 | 2/25/14 | Stip & Order \$500 | | | To AAG | 2/25/2014 | | |
| | | | | | Before T&E 6/9/2014 | 6/9/2014 | | |
| | | | | | Forfeiture Pd | 7/1/2014 | 7/1/2014 | |
| 3458 | 3/11/14 | Stip & Order \$1,500 | | | To AAG | 3/17/2014 | | |
| | | | | | Request for Pmt sent | 7/22/2014 | | |
| | | | | | Forfeiture PD \$1500 | 7/30/2014 | 7/30/14 | |
| 3465 | 3/24/14 | Stip & Order \$1,500 | | | To AAG | 3/25/2014 | | |
| | | | | | S&O sent with Invoice | 6/13/2014 | | |
| | | | | | Forfeiture Pd | 6/20/2014 | 6/20/2014 | |
| 3501 | 5/28/14 | Stip & Order \$22,750 | Yes, 2002 | Actions 2002, and 2012 | To AG for drafting | 1/30/2015 | | TG |
| | | | | | Stip and O and Invoice mailed | 4/13/2015 | | |
| | | | | | Forfeiture Paid | 4/23/2015 | 4/23/2015 | |
| 3511 | 7/1/14 | Stip & Order \$5,000 | | | Report to AG's | 7/1/2014 | | |
| | | | | | Stip & O Mailed | 9/8/2014 | | |
| | | | | | Forfeiture PD \$5000 | 9/19/2014 | 9/19/2014 | |
| 3512 | 7/1/14 | Stip & Order \$1,500 | | | To AG's for drafting | 7/1/2014 | | AM |
| | | | | | Stip & O and Inv. Mailed | 10/20/2014 | | |
| | | | | | Forfeiture PD | 10/30/2014 | 10/30/2014 | |
| 3526 | 8/28/14 | Stip & Order \$9,000 | | | \$1500 Forfeiture PD | 11/3/2014 | | AM |
| | | | | | \$3000 Forfeiture PD | 11/24/2014 | | |
| | | | | | Closed Forfeiture PD | 3/2/2015 | 3/2/2015 | |

| E-Case # | Date Opened | Recommended Action | Repeat Offense | Prior Offense | Action taken | Action Date | Closed Date | |
|----------|-------------|---|----------------|-------------------------------------|-----------------------------------|-------------|-------------|----|
| 3527 | 8/28/14 | Informal Order \$1,000 | | | Drafted Pleading | 8/28/2014 | | |
| | | | | | Mailed IO | 8/29/2014 | | |
| | | | | | Forfeiture Pd | 9/12/2014 | 9/12/2014 | |
| 3528 | 8/28/14 | Informal Order \$3,000 | | | Drafted Pleading | 8/29/2014 | | |
| | | | | | Mailed IO | 8/28/2014 | | |
| | | | | | Forfeiture PD | 10/28/2014 | 10/28/2014 | |
| 3533 | 9/5/14 | 2 counts Unlawful Dealing of Property by Fiduciary ((F2)(felony2) and F3), 1 count Communications Fraud (F2); warrant issued | | | Informal Sent/Returned | 9/5/2014 | | TG |
| | | | | | | | | |
| | | | | | Informal Sent/Returned | 9/11/2014 | | |
| 3534 | 9/9/14 | Stip & Order \$1,500 | | | Warrant lissued | 2/25/2015 | 10/6/2014 | |
| | | | | | To AG's for drafting | 9/9/2014 | | |
| | | | | | Stip & Order/Inv. Mailed | 10/20/2014 | | |
| 3535 | 9/9/14 | Stip & Order \$1,500 | | | Forfeiture Pd | 12/2/2014 | 12/2/2014 | |
| | | | | | To AG's for drafting | 9/9/2014 | | |
| | | | | | Stip & Order/Inv. Mailed | 10/20/2014 | | |
| 3547 | 10/28/14 | Stip & Order \$32,500 | | | Forefeiture Pd | 11/18/2014 | 11/18/2014 | |
| | | | | | To AG's for drafting | 10/28/2014 | | AM |
| | | | | | Invoice Sent | 4/13/2015 | | |
| 3575 | 1/20/15 | Stip & Order \$3,000 | Yes, 2012 | Yes Multiple cases since 2001 | Forfeiture Pd | 4/27/2015 | 4/27/2015 | |
| | | | | | To AG's for drafting | 1/20/2015 | | |
| | | | | | Before T&E | 2/9/2015 | | |
| 3576 | 1/21/15 | Denial of License | NA | Judgements against Primary | Forfeiture Paid | 3/9/2015 | 3/10/2015 | |
| | | | | | To AG's for hearing | 1/22/2015 | | RO |
| | | | | | AG said license should be issued. | 2/5/2015 | | |
| 3578 | 1/23/15 | Informal Order \$1,000 | No | | Case closed | 2/5/2015 | 2/5/2015 | |
| | | | | | Informal sent | 1/27/2015 | | TG |
| | | | | | | | | |
| 3580 | 1/29/15 | Stip and Order \$1,500 | No | | \$1000 Forfeiture PD | 2/3/2015 | 2/3/2015 | |
| | | | | | Sent to AG for drafting | 1/29/2015 | | TG |
| | | | | | Approved T&E | | | |
| 3588 | 2/17/15 | Stip and Order \$1,500 | No | | Pmts received | 4/3/2015 | 4/3/2015 | |
| | | | | | Sent to AG for drafting | 2/17/2015 | | |
| | | | | | Mailed Signed S&O | 3/19/2015 | | |
| 3589 | 2/17/15 | Stip and Order \$750 | No | | Forfeiture PD | 4/1/2015 | 4/1/2015 | |
| | | | | | Sent to AG for drafting | 2/17/2015 | | |
| | | | | | S&O mailed with Invoice | 3/19/2015 | | |
| 3597 | 3/5/15 | Surrender in Lieu | Yes 2008 | 2003, 2005 2009, 2012 | Forfeiture PD | 4/1/2015 | 4/1/2015 | |
| | | | | | Informal Sent/Invoiced | 3/6/2015 | | |
| | | | | | | | | |
| 3598 | 3/5/15 | Informal Order \$500 | No | | Surrender in Lieu Received | 6/15/2015 | 6/30/2015 | |
| | | | | | Informal Sent/Invoiced | 3/6/2015 | | |
| | | | | | | | | |
| 3604 | 3/30/15 | Stip and Order \$2,500 | No | | Forfeiture PD | 4/16/2015 | 4/16/2015 | |
| | | | | | To AG's for drafting | 3/31/2015 | | |
| | | | | | Signed for Title and Escrow Mtg | 4/15/2015 | | |
| 3624 | 6/9/15 | \$1,000 Public Letter of Admonition | No | | Forfeiture PD | 6/2/2015 | 6/2/2015 | |
| | | | | | | | | |
| | | | | | Informal Action mailed | 6/11/2015 | | |
| 3625 | 6/9/15 | Stip and Order \$7,500 | No | | Forfeiture PD | 6/24/2015 | 6/24/2015 | |
| | | | | | To AG's for drafting | 6/11/2015 | | |
| | | | | | Recieved signed S&O | 9/1/2015 | | |
| 3647 | 8/4/15 | \$1,500 Stip and Order | No | 2002, 2010 | Final Payment made | 11/30/2015 | 11/30/2015 | |
| | | | | | To AG's for drafting | 8/4/2015 | | |
| | | | | | Recieved signed S&O | 8/25/2015 | | |
| 3648 | 8/4/15 | \$1,500 Stip and Order | No | | Forfeiture PD | 9/21/2015 | 9/21/2015 | |
| | | | | | | | | |
| | | | | | To AG's for drafting | 8/4/2015 | | |
| 3648 | 8/4/15 | Stip and Order | No | | Recieved signed S&O | 8/18/2015 | | |
| | | | | | | | | |
| | | | | | Forfeiture PD | 10/6/2015 | 10/6/2015 | |

| E-Case # | Date Opened | Recommended Action | Repeat Offense | Prior Offense | Action taken | Action Date | Closed Date | |
|----------|-------------|---|----------------|---------------|----------------------------------|-------------|-------------|----|
| 3730 | 2/19/16 | Default Order | NO | | Default Order T&E Committee | 4/21/2016 | | |
| | | | | | Default Revocation mailed | | 5/17/2016 | |
| 3731 | 2/22/16 | \$6,500 Informal Order | | | Informal mailed | 2/25/2016 | | |
| | | | | | Pd Invoice | 3/7/2016 | | |
| | | | | | | | 3/7/2016 | |
| 3742 | 3/14/16 | \$3,000 Stip and Order | yes | | Stip and Order sent to AG | 3/14/2016 | | TG |
| | | | | | Concurred by T&E/Stip&Order sent | 4/11/2016 | | |
| | | | | | Pd Forfeiture | 5/16/2016 | 5/26/2016 | |
| 3753 | 3/21/16 | \$1,500 Informal Order | yes | 2014 | To ALJ | | | TG |
| | | | | | Informal sent with invoice | 3/28/2016 | | |
| | | | | | Payment Rec'd | 4/26/2016 | 4/26/2016 | |
| 3774 | 5/9/16 | \$500 | No | | Offer Letter sent | 7/20/2016 | | TG |
| | | | | | Stip & O to AG | 8/12/2016 | | |
| | | | | | Pd Forfeiture | 9/27/2016 | 9/27/2016 | |
| 3776 | 5/13/16 | \$1000 + \$375 Informal Order | No | | Informal Mailed | 5/13/2016 | | TG |
| | | | | | | | | |
| | | | | | Closed Forfeiture PD | 6/27/2016 | 6/30/2016 | |
| 3777 | 5/13/16 | \$1,000 Informal Order 24 Mos Probation | Yes | 2014 | Informal Mailed | 5/13/2016 | | |
| | | | | | Paid | 5/24/2016 | | |
| | | | | | | | 5/24/2016 | |
| 3778 | 5/13/16 | \$2750 & \$375 Informal Order 24 Mo Probation | Yes | 2013, 2014 | Informal Mailed | 5/13/2016 | | |
| | | | | | Surrender in Lieu requested | 5/23/2016 | | |
| | | | | | Surrender in Lieu signed | | 6/6/2016 | |
| 3779 | 5/13/16 | \$1,000 Informal Order | No | | Informal Mailed | 5/23/2016 | | |
| | | | | | Withdrew action | 6/20/2016 | | |
| | | | | | | | 6/20/2016 | |
| 3780 | 5/13/16 | \$1,000 Informal Order | No | | Informal Mailed | 5/23/2016 | | |
| | | | | | | | | |
| | | | | | Closed Forfeiture PD | 6/28/2016 | 6/30/2016 | |
| 3788 | 6/14/16 | \$1,000 Informal Order | No | | Informal Mailed | 6/15/2016 | | |
| | | | | | | | | |
| | | | | | | | 8/2/2016 | |
| 3822 | 8/31/16 | Revocations | No | | Sent to AGs for Complaint | 9/1/2016 | | |
| | | | | | | | | |
| | | | | | | | | |
| 3823 | 8/31/16 | Revocation | No | | Sent to AGs for Complaint | 9/1/2016 | | |
| | | | | | | | | |
| | | | | | | | | |
| 3823 | 9/6/16 | \$1,500 Stip and Order | No | | Sent to AGs for Drafting | 9/6/2016 | | |
| | | | | | Invoice mailed | 10/17/2016 | | |
| | | | | | Second Req for pmt | 12/1/2016 | | |
| 3824 | 9/6/16 | \$1,500 Stip and Order | No | | Sent to AGs for Drafting | 9/6/2016 | | |
| | | | | | Invoice mailed | 10/17/2016 | | |
| | | | | | Payment Rec'd | 12/15/2016 | 12/15/2016 | |
| 3845 | 12/19/16 | \$63,995 Stip and Order | No | | Sent to AGs for Drafting | 12/19/2016 | | |
| | | | | | Invoice Mailed | 10/17/2016 | | |
| | | | | | Payment Rec'd | 3/23/2017 | 3/23/2017 | |
| 3871 | 3/14/17 | \$3,000 Stip and Order | No | | Sent to AGs for Drafting | 3/14/2017 | | |
| | | | | | | | | |
| | | | | | | | | |
| 3866 | 3/1/17 | \$2,000 Stip and Order | No | | Sent to AGs for Drafting | 3/1/2017 | | |
| | | | | | | | | |
| | | | | | | | | |
| 3872 | 3/16/17 | \$1,000 Stip and Order | No | | Sent to Ags for Drafting | 3/2/2017 | | |
| | | | | | | | | |
| | | | | | | | | |